

Attachment 8 HOPWA Formula Grantee Report Schedule and Standards

All HOPWA Formula grantees are required to submit annual performance reports that reflect the accomplishments of projects and activities carried out during their program year. The two main submissions to HUD are the annual summary of their accomplishments that is provided in the Comprehensive Annual Performance and Evaluation Report (CAPER), and the data on accomplishments that is entered into IDIS for the activities carried out during that year. Two IDIS conventions are important for HOPWA reports, the use of series 31 matrix codes and the setup and close out of activities each year for HOPWA projects—to allow HUD to track HOPWA grant performance. In both the CAPER and IDIS, grantees are required to provide HUD with complete, accurate, and valid information not later than 90 days after the close of their program year.

HUD requires that grantees provide information regarding how these Federal funds are used to provide housing assistance for low-income persons who are living with HIV/AIDS and their families. Grantees must ensure that their project sponsors collect the required HOPWA performance information throughout the course of the grantee's operating year. Grantees must also collect this information and report to HUD under standard formats that have been established for this program. Grantees must ensure that the data reported is accurate, complete, valid and reported in a timely manner.

HOPWA formula grantees determine their own program year, as noted below. The program year is the 12-month operating year in which grantees carry out HOPWA projects and the related activities established in their HUD-approved Consolidated Plan/Action Plan(s). Some grantees use the Federal Fiscal Year (October 1st – September 30th). However, most HOPWA grantees have a program year that does not coincide with these dates. For FY2004, eleven new formula grantees – State of Maryland; State of Iowa; Bridgeport, CT; Augusta, GA; Gaithersburg, MD; Cambridge, MA; Worcester, MA; Warren, MI; Jackson, MS; Camden, NJ; and Poughkeepsie, NY – have established new HOPWA plans and will submit a performance report and make use of IDIS in connection with the completion of that program year. The new grantees are indicated with a * in the following chart.

Additionally, in FY2004, five previously funded grantees will no longer receive new funds directly. They will continue to have responsibility for making use of the FY03 and earlier formula awards and for reporting annually on accomplishments. Also, their area should receive funding under the FY04 allocation that is being made to another city for that Eligible Metropolitan Statistical Area. These grantees are: Dover Township, NJ; Jersey City, NJ; Paterson, NJ; Greensboro, NC; and Greenville, SC.

Grantee Name	PGY Begin	PGY End	CAPER Due Date	TOTAL
State of Illinois	01-Jan	31-Dec	31-Mar	
State of Iowa *	01-Jan	31-Dec	31-Mar	
State of Kansas	01-Jan	31-Dec	31-Mar	
State of Michigan	01-Jan	31-Dec	31-Mar	

State of North Carolina	01-Jan	31-Dec	31-Mar	
State of New York	01-Jan	31-Dec	31-Mar	
State of Pennsylvania	01-Jan	31-Dec	31-Mar	
City of New York	01-Jan	31-Dec	31-Mar	
City of Augusta *	01-Jan	31-Dec	31-Mar	
City of Chicago	01-Jan	31-Dec	31-Mar	
City of Denver	01-Jan	31-Dec	31-Mar	
City of Seattle	01-Jan	31-Dec	31-Mar	
City of Columbus	01-Jan	31-Dec	31-Mar	
City of Cincinnati	01-Jan	31-Dec	31-Mar	
City of Sacramento	01-Jan	31-Dec	31-Mar	
City of New Orleans	01-Jan	31-Dec	31-Mar	
City of Milwaukee	01-Jan	31-Dec	31-Mar	
City of Atlanta	01-Jan	31-Dec	31-Mar	
City of Indianapolis	01-Jan	31-Dec	31-Mar	
City of Louisville	01-Jan	31-Dec	31-Mar	
City of St. Louis	01-Jan	31-Dec	31-Mar	
State of New Mexico	01-Jan	31-Dec	31-Mar	22
State of Texas	01-Feb	31-Jan	30-Apr	1
State of Mississippi	01-Mar	28-Feb	30-May	
City of Poughkeepsie *	01-Mar	28-Feb	30-May	2
State of Alabama	01-Apr	31-Mar	30-Jun	
State of Colorado	01-Apr	31-Mar	30-Jun	
State of Oklahoma	01-Apr	31-Mar	30-Jun	
State of Utah	01-Apr	31-Mar	30-Jun	
State of Wisconsin	01-Apr	31-Mar	30-Jun	
City of Pittsburgh	01-Apr	31-Mar	30-Jun	
City of Cleveland	01-Apr	31-Mar	30-Jun	
City of Los Angeles	01-Apr	31-Mar	30-Jun	
City of Nashville	01-Apr	31-Mar	30-Jun	
City of Kansas City	01-Apr	31-Mar	30-Jun	
State of Missouri	01-Apr	31-Mar	30-Jun	11
City of Newark	01-May	30-Apr	30-Jul	
City of Buffalo	01-May	30-Apr	30-Jul	2
City of Albany	01-Jun	31-May	30-Aug	
City of Minneapolis	01-Jun	31-May	30-Aug	
City of Fort Worth	01-Jun	31-May	30-Aug	
City of Charleston	01-Jun	31-May	30-Aug	4
State of Arkansas	01-Jul	30-Jun	30-Sep	

State of Arizona	01-Jul	30-Jun	30-Sep
State of California	01-Jul	30-Jun	30-Sep
State of Delaware	01-Jul	30-Jun	30-Sep
State of Florida	01-Jul	30-Jun	30-Sep
State of Georgia	01-Jul	30-Jun	30-Sep
State of Hawaii	01-Jul	30-Jun	30-Sep
State of Indiana	01-Jul	30-Jun	30-Sep
State of Louisiana	01-Jul	30-Jun	30-Sep
State of Maryland *	01-Jul	30-Jun	30-Sep
State of Massachusetts	01-Jul	30-Jun	30-Sep
State of New Jersey	01-Jul	30-Jun	30-Sep
State of Nevada	01-Jul	30-Jun	30-Sep
State of Ohio	01-Jul	30-Jun	30-Sep
Commonwealth of Puerto Rico	01-Jul	30-Jun	30-Sep
State of South Carolina	01-Jul	30-Jun	30-Sep
State of Tennessee	01-Jul	30-Jun	30-Sep
State of Virginia	01-Jul	30-Jun	30-Sep
State of Washington	01-Jul	30-Jun	30-Sep
City of Bridgeport *	01-Jul	30-Jun	30-Sep
City of Cambridge *	01-Jul	30-Jun	30-Sep
City of Camden *	01-Jul	30-Jun	30-Sep
City of Gaithersburg *	01-Jul	30-Jun	30-Sep
City of Warren *	01-Jul	30-Jun	30-Sep
City of Worcester *	01-Jul	30-Jun	30-Sep
City of Oakland	01-Jul	30-Jun	30-Sep
Township of Woodbridge	01-Jul	30-Jun	30-Sep
City of Hartford	01-Jul	30-Jun	30-Sep
City of Honolulu	01-Jul	30-Jun	30-Sep
City of Las Vegas	01-Jul	30-Jun	30-Sep
City of Wilmington	01-Jul	30-Jun	30-Sep
City of Portland	01-Jul	30-Jun	30-Sep
City of Providence	01-Jul	30-Jun	30-Sep
City of New Haven	01-Jul	30-Jun	30-Sep
City of Phoenix	01-Jul	30-Jun	30-Sep
City of Boston	01-Jul	30-Jun	30-Sep
Salt Lake City	01-Jul	30-Jun	30-Sep
City of Rochester	01-Jul	30-Jun	30-Sep
City of Santa Ana	01-Jul	30-Jun	30-Sep
City of Riverside	01-Jul	30-Jun	30-Sep

City of Birmingham	01-Jul	30-Jun	30-Sep	
City of San Diego	01-Jul	30-Jun	30-Sep	
City of Columbia	01-Jul	30-Jun	30-Sep	
City of Philadelphia	01-Jul	30-Jun	30-Sep	
Town of Islip	01-Jul	30-Jun	30-Sep	
City of Oklahoma City	01-Jul	30-Jun	30-Sep	
Municipio de San Juan	01-Jul	30-Jun	30-Sep	
City of Memphis	01-Jul	30-Jun	30-Sep	
City of Detroit	01-Jul	30-Jun	30-Sep	
Wake County	01-Jul	30-Jun	30-Sep	
City of Houston	01-Jul	30-Jun	30-Sep	
City of Richmond	01-Jul	30-Jun	30-Sep	
City of Virginia Beach	01-Jul	30-Jun	30-Sep	
City of Springfield	01-Jul	30-Jun	30-Sep	
City of Tucson	01-Jul	30-Jun	30-Sep	
City of San Francisco	01-Jul	30-Jun	30-Sep	
City of Charlotte	01-Jul	30-Jun	30-Sep	
Commonwealth of Kentucky	01-Jul	30-Jun	30-Sep	
State of Connecticut	01-Jul	30-Jun	30-Sep	
City of Baltimore	01-Jul	30-Jun	30-Sep	
City of San Jose	01-Jul	30-Jun	30-Sep	61
District of Columbia	01-Oct	30-Sep	30-Dec	
State of Minnesota	01-Oct	30-Sep	30-Dec	
City of Ft. Lauderdale	01-Oct	30-Sep	30-Dec	
City of Miami	01-Oct	30-Sep	30-Dec	
City of San Antonio	01-Oct	30-Sep	30-Dec	
City of Jackson *	01-Oct	30-Sep	30-Dec	
City of Jacksonville	01-Oct	30-Sep	30-Dec	
City of Baton Rouge	01-Oct	30-Sep	30-Dec	
City of Tampa	01-Oct	30-Sep	30-Dec	
City of Orlando	01-Oct	30-Sep	30-Dec	
City of Sarasota	01-Oct	30-Sep	30-Dec	
City of West Palm Beach	01-Oct	30-Sep	30-Dec	
City of Dallas	01-Oct	30-Sep	30-Dec	
City of Austin	01-Oct	30-Sep	30-Dec	14

* - FY2004 New Formula Grantees

- The following four formula grantees have changed their program-reporting period. The State of Louisiana, State of Massachusetts, and State of South Carolina have changed from a period beginning of April 1 to a period beginning of July 1 and the State of Washington has changed its period beginning from January 1 to July 1.

HUD expects that grantees will maintain these schedules and report accomplishments in the CAPER and IDIS in a timely manner. In order to develop national accomplishment reports on the HOPWA program, the Office of HIV/AIDS Housing is used the following schedule based on the established grantee report submission dates. The four largest groupings of grantees for 100 of the 108 grantees listed, fall on the quarter year dates for the Federal Fiscal Year, i.e., those cycles ending September 30, December 30, March 30, and June 30.

Grantees have 90 days after the end of their operating cycle to submit their annual performance report – CAPER, following public participation processes, for the approval of the State or Area HUD CPD Office – as well as complete data entry on performance by project activity within IDIS. The table illustrates the basic schedule for these groups. In addition to due dates that are not more than 90 days after the end of the program year. HUD Field Office staff have up to 60 days to review and approve the CAPER and ensure that the related IDIS information is also submitted in that system. In order to complete national reports, oversight by Field Offices on the compliance by grantees with this schedule is vital. Based on established CAPER reporting requirements, the Office of HIV/AIDS Housing at Headquarters has also established a summary chart in the CAPER which is useful in illustrating their program accomplishments. This information must be forwarded to this Headquarter Office, following its receipt by the Field Office, along with any HOPWA summary or section of the CAPER—due not more than 60 days after the receipt of the CAPER. This information is used to review performance and compared to data entry in IDIS for the same period of performance.

Grantee Operating Year-Example	Number of HOPWA Grantees Reporting	CAPER & IDIS due to FO within 90 days – Last Date	Data due to HQ within 60 days from FO – Last Date	Federal Fiscal Quarter that HQ receives CAPER	IDIS Final Complete Report Due – 90 days – Last Date
April 01 – March 02	14	June 30, 02	Aug 30, 02	4 th – FY 02	June 30, 02
July 01 – June 02	54	Sept 30, 02	Nov 30, 02	1 st – FY 03	Sept 30, 02
Oct 01 – Sept 02	12	Dec 30, 02	Feb 03	2 nd – FY 03	Dec 30, 02
Jan 02 – Dec 02	20	March 30, 03	May 30, 03	3 rd – FY 03	March 30, 03
April 02 – March 03	14	June 30, 03	Aug 30, 03	4 th – FY 03	June 30, 03
July 02 – June 03	54	Sept 30, 03	Nov 30, 03	1 st – FY 04	Sept 30, 03
Oct 02 – Sept 03	13	Dec 30, 03	Feb 04	2 nd – FY 04	Dec 30, 03

03					
Jan 03 – Dec 03	20	March 30, 04	May 30, 04	3 rd – FY 04	March 30, 04
April 03 – March 04	17	June 30, 04	Aug 30, 04	4 th – FY 04	June 30, 04
July 03 – June 04	61	Sept 30, 04	Nov 30, 04	1 st – FY 05	Sept 30, 04
Oct 03 – Sept 04	14	Dec 30, 04	Feb 05	2 nd – FY 05	Dec 30, 04
Jan 04 – Dec 04	25	March 30, 05	May 30, 05	3 rd – FY 05	March 30, 05

Note that the first four groups of grantees listed above (100 shown along with 8 others on different schedules), cover the general period of the 2002 Federal Fiscal Year, for reports being filed and reviewed during that period. The compilation of data from the CAPER and IDIS for these grantees will constitute the 2001-2002 performance year for the national HOPWA performance reports. Similarly, the next four groups constitute the 2002-2003 national performance year and the last four the 2003-2004 performance year. However, HUD has agreed to submit national 2003 reports on an accelerated schedule and national information will be due in mid-November, 2003. As a result, grantees completing their current year by the end of September 2004, may be requested to accelerate their completion of reports to HUD to assist in the compilation of this performance data, for essential elements, such as the number of units or households assisted during that performance year.

OUTPUTS AND OUTCOMES MEASURED. Under the HOPWA program, HUD has established one main output measurement in order to measure on a national basis the number of households (or units of housing) that were assisted with some form of housing assistance under the HOPWA program. Under this output measurement, grantees must report each year on the number of households that were supported under the three main forms of housing assistance available: (1) the number units provided in facilities, such as community residences, SRO dwellings, and short-term facilities; (2) the number of households supported through the use of rental assistance payments; and (3) the number of household who received short-term rent, mortgage and utility payments during that year (note this is not the number of payments to these households, as many household receive additional payments for each month during their 21-week eligibility period under this activity). The collection of this information is the essential measurement tool that is used to document the accomplishments of the program in addressing the housing needs of eligible persons over the course of one annual cycle. The collection of this information from all HOPWA grantees, formula and competitive programs, is used by HUD to implement the Department's Annual Strategic Plan for the use of all HUD resources, as well as to report to Congress on accomplishments under these resources in the Annual Performance Plan (APP) and in requesting program appropriations under the annual budget development process.

OUTPUT MEASURED: Number of Households receiving HOPWA housing assistance support during the grantee operating year.

In addition to standard data output elements, the Department is also establishing an outcome measurement process to ensure performance information collected and reported are used appropriately in assessment of outcomes for beneficiaries and the effectiveness of area HIV/AIDS housing programs. The notice is expected to be issued at a later date. Outcomes measure benefits or changes for individuals or populations during or after participating in program activities. To measure benefits for clients, the HOPWA program has established one main program outcome:

OUTCOME MEASURED: HOPWA assisted households have been enabled to establish and/or better maintain a stable living environment in housing that is safe, decent, and sanitary and to reduce the risks of homelessness and improve access to health care and other support.

At the end of each year of assistance, HOPWA recipients should consider the effects of their efforts under this general outcome. Recipients should assess accomplishments in achieving this outcome and report on progress through the CAPER and APR. These assessments will help inform the community as well as HUD in assessing past performance and helping to direct future efforts. Additionally, programs can utilize the information to consider alternatives or program enhancements if activities are not meeting the stated outcome.

As noted in CPD Notice 03-09 grantees are encouraged to develop their own outcome measurement tools that help meet local or State requirements and help measure other attributes and benefits of the programs operating in their areas. In the case of HOPWA competitive grants, special emphasis has been placed on developing model projects that may test new ideas or innovations in addressing the needs of the HOPWA eligible population in their area. In addition, grantees and sponsors, which make use of HUD Continuum of Care Homeless Assistance funding, are implementing a Homeless Management Information System (HMIS) under other Federal requirements.

OTHER STANDARD GRANTEE PROCEDURES.

OPERATING YEAR. Each HOPWA grantee has established a grant operating year that must be used for the purposes of collecting data and reporting to HUD. For formula grants, this is the annual cycle that is used in the submission of annual Action Plan for the use of formula program funding which was approved by HUD under their Consolidated Plan. Most of the 111 current HOPWA formula grantees use one of these four procedural cycles: July-June (40% of HOPWA grantees); January-December (20%); October-September (19%) and April-March (10%), although others are also eligible. Grantees of competitive funds sign a grant agreement, which establishes their grant year. Any extension of a grant beyond the established three year use period is also based on these dates. In order to maintain a standard national reporting process, each grantee is responsible for ensuring that all project sponsors of its grant operate under the same time line as the grantee's operating year. To the degree practicable, grantees must ensure that any subrecipient agreement with these sponsors carries out the performance information requirements established for the HOPWA program. HUD expects that grantees will collect data in an active on-going basis, both to ensure that sponsors are collecting appropriate information, and that the annual reporting requirements can be met. Both the CAPER and related completed

IDIS information and the competitive APR reports are due to HUD no later than 90 days after the completion of the grantee operating year.

ESTABLISHING PLANNED OUTPUTS. While formula grantees must set up program activities in IDIS in order to access program funding and must meet financial transaction requirements in an active manner, a significant amount of other performance information is only required to be collected on an annual basis, similar to the annual collection of APR information for competitive grants. For formula grantees, IDIS requires and collects planned and, then at the close of the year, the actual outputs for each activity operating during that year (see MA04 screen). For HOPWA, HUD is equating the number of households assisted with some form of housing assistance with the number of units of housing that are provided during the year.

REPORTING ON FINANCIAL TRANSACTION. HUD's IDIS and LOCCS systems ensure that grantees document any financial transaction in an active and current manner. These tools allow HUD to make use of monthly obligation and expenditure information in tracking and assessing grant management activities.

REPORTING ON ACTUAL OUTPUTS AND OTHER DATA. Similar to planned outputs, the actual accomplishments are to be recorded each year. Formula grantees develop their summary public report, the CAPER, and enter completed information in IDIS for all HOPWA activities. The APR accomplishes this same result for competitive grantees both in providing data and in providing a summary of performance. This information is submitted to the State or Area CPD Office for review and approval, not later than 90 days after the end of the grantee operating year. If information is incomplete or in needed or correction, grantees must submit this information under the timeline established for this grants management action by the area CPD Office. In addition, Grantees are requested to submit a copy of their APR and the HOPWA sections of their CAPER to the Office of HIV/AIDS Housing at HUD Headquarters.

EVALUATION OF REPORTS. Information collected is to be used in meeting HOPWA grants management responsibilities, both by grantees in providing oversight to their projects sponsors, and by HUD in undertaking HOPWA grants management under the State and Area HUD Offices. As noted, such evaluations can be used to identify additional training and technical assistance needs and is used by HUD for risk assessment reviews in determining grant monitoring activities. The CAPER and other summary information is also used by citizens and prospective beneficiaries to learn about the HOPWA programs in the community and the posting of information on HUD's website along with others helps to inform interested parties in program availability and results.

These reports also provide the essential information that is accumulated on a national basis for the HOPWA program. This information is collected and used by HUD to assess overall program performance under the strategic goals established to implement the Department's Annual Strategic Plan for the use of all HUD resources. The information is used to report to Congress on the accomplishments of HOPWA funded programs the Department's Annual Performance Plan (APP) and in requesting program appropriations under the annual budget development process. In recent years, HOPWA grantees have made a significant effort to ensure that HOPWA performance information is collected and used in grants management activities. For

example, in Fiscal Year 2002, HUD used comprehensive financial data, along with summary data from all grantees and IDIS/APR beneficiary data to report on program accomplishments.

FIELD OFFICE ACTIONS. In addition to the review and approval of performance reports, along with conducting training for grantees on IDIS, Field Offices are requested to send a copy the HOPWA part of the CAPER to the Office of HIV/AIDS Housing, after its receipt. This can be done by mail or fax to 202-708-9313 OHH fax. The information needed is both the HOPWA CAPER charts, which illustrate required CAPER documentation, and the summary or HOPWA section of the grantee's CAPER, which is used for summary information posted on the HUD web on the HOPWA programs.